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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inside Patent Application of:

Our Ref.: P/3879-4

HOWORKA et al.

Date: April 20, 2001

Serial No.: 09/603,523

Group Art Unit: --

Filed: 6/23/00

Examiner: --

For: ARCHITECTURE FOR ANONYMOUS TRADING SYSTEM

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APR 25 2001

Assistant Commissioner of Patents

Technology Center 210C

Washington, D.C. 20231

SUBMISSION

Sir:

<input checked="" type="checkbox"/>	Submitted herewith is a copy of art together with an art listing form listing the same for the convenience of the Examiner.
<input checked="" type="checkbox"/>	The document(s) listed on the attached art listing form was/were cited in a Search Report issued by a foreign patent office in a related application. A copy of the Search Report (in the English language) is attached hereto for the Examiner's reference.
<input type="checkbox"/>	The Japanese Publication(s) listed on the attached art listing form was/were cited in a Japanese Office Action issued in a related application. A copy of the Japanese Office Action and an English-language translation of the relevant portions are also attached.
<input type="checkbox"/>	This submission is being made after the issuance of a first Office Action and three months after the application filing date. Thus a Certification Under 37 C.F.R. §1.97(e) is set forth below.
<input checked="" type="checkbox"/>	I hereby certify that each item of information contained in this Submission was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of this Submission (37 C.F.R. §1.97(e)).
<input type="checkbox"/>	I hereby certify that each item of information contained in this Submission was cited in a communication from a foreign patent office in a counterpart foreign application not more than thirty (30) days prior to the filing of this Submission (37 C.F.R. §1.97(e)).
<input type="checkbox"/>	This submission is being made after the issuance of the first Office Action and without a certification. The fee of \$180.00 under 37 C.F.R. §1.17(p) is attached.
<input type="checkbox"/>	This submission is being made after the issuance of a final rejection or a Notice of Allowance but prior to the payment of the issue fee. Applicant(s) hereby attach the fee of \$180.00 under 37 C.F.R. §1.17(I). A certification under 37 C.F.R. §1.97(e) is set forth above.

EXPRESS MAIL CERTIFICATE

Respectfully submitted,

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee (mail label #EL613109073US) in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231-9999, on April 20, 2001:

Dorothy Jenkins

Name of Person Mailing Correspondence

Dorothy Jenkins
Signature
April 20, 2001

Date of Signature

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Your Reference: PADL/jch/41988
Application No: GB 0101426.5

13 February 2001

Dear Sirs

Patents Act 1977: Search Report under Section 17(5)

I enclose two copies of my search report and two copies of the citations.

Patentability

Your invention may not be patentable, having regard to the exclusions in Section 1(2) of the Act. This matter will be considered fully, however, at the substantive examination stage, if you decide to proceed with your application.

Publication

I estimate that, provided you have met all formal requirements, preparations for publication of your application will be completed soon after **20 November 2001**. You will then receive a letter informing you of completion and telling you the publication number and date of publication.

Amendment/withdrawal

If you wish to file amended claims for inclusion with the published application, or to withdraw the application to prevent publication, you must do so before the preparations for publication are completed. **No reminder will be issued.** If you write to the Office less

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than 3 weeks before the above completion date, please mark your letter prominently:
"URGENT - PUBLICATION IMMINENT".

Yours faithfully

A handwritten signature in black ink, appearing to read 'G. Western', with a stylized flourish at the end.

Geoff Western
Examiner

Application No: GB 0101426.5
Claims searched: 1-12

Examiner: Geoff Western
Date of search: 9 February 2001

Patents Act 1977
Search Report under Section 17

Databases searched:

UK Patent Office collections, including GB, EP, WO & US patent specifications, in:

UK Cl (Ed.S): G4A (AUXF)

Int Cl (Ed.7): G06F 17/60

Other: Online: JAPIO, EPODOC, WPI, TDB, INSPEC, XPESP, IEL, Internet

Documents considered to be relevant:

Category	Identity of document and relevant passage	Relevant to claims
A	WO 97/45802 A2 (REUTERS)	-
A	US 5136501 A (REUTERS)	-

X	Document indicating lack of novelty or inventive step	A	Document indicating technological background and/or state of the art.
Y	Document indicating lack of inventive step if combined with one or more other documents of same category.	P	Document published on or after the declared priority date but before the filing date of this invention.
&	Member of the same patent family	E	Patent document published on or after, but with priority date earlier than, the filing date of this application.